

DEPARTMENT OF THE TREASURY
ALCOHOL AND TOBACCO TAX AND TRADE BUREAU (TTB)

REFERRAL OF INFORMATION

(See Instructions on back)

U.I. NUMBER

PART I - REFERRAL

1. TO: *(Title, agency and address)*

2. DATE

The following information and attachment *(Check applicable box)* ☐ are sent to you as requested, ☐ are referred to you for consideration as potential criminal or civil violations coming under your jurisdiction.

COMPLETE FOR REFERRALS OR REQUESTS OUTSIDE TTB - ☐ DOES ☐ DOES NOT contain confidential returns or return information under 26 U.S.C. 6103.

COMPLETE IF APPLICABLE: This is a confirmation of a referral made ☐ by telephone ☐ in person on _____.

3. NAME(S) OF PRINCIPALS INVOLVED IN POSSIBLE VIOLATION

4. STATUTE(S) POSSIBLY VIOLATED

5. FEDERAL LICENSES AND/OR PERMITS HELD *(Type and number)*

6. TTB OFFICER UNCOVERING POTENTIAL VIOLATION

7. POST OF DUTY

8. SUMMARY OF SIGNIFICANT FACTS AND/OR EXPLANATION OR DESCRIPTION OF ATTACHMENT *(Continue on a separate sheet, if necessary.)*9. TTB OFFICIAL APPROVING REFERRAL *(Signature)*

10. DATE

11. TITLE AND ADDRESS

12. TELEPHONE NO.

PART II - RESPONSE *(See Instruction 4.)* REQUESTED ☐ NOT REQUESTED ☐

1. THE REFERRAL ABOVE IS ☐ ACCEPTED ☐ REJECTED *(Explain below)* ☐ OTHER *(Explain below)*

2. DATE

3. ACTION PLANNED OR TAKEN AND COMMENTS *(Continue on a separate sheet, if necessary.)*

4. SIGNATURE

5. TITLE OF OFFICIAL

6. ADDRESS

7. TELEPHONE NO.

COMPLETE FOR REFERRALS WITHIN TTB: THIS RESPONSE IS ☐ INTERIM ☐ FINAL

INSTRUCTIONS

1. **PURPOSE.** Use this form to internally refer potential violations of TTB administered statutes and to externally refer to the appropriate Federal, State or local enforcement/regulatory agency potential violations of other statutes. Also, use this form to transmit information (including confirmation of oral transmittals) to, or to document inspections (on-site) by, another Federal, State or local agency, that identifies, directly or indirectly, a licensee permittee, taxpayer, applicant, or any person (individual, partnership, corporation, etc.), connected with, or alleged to have committed, a possible violation of, or to have incurred a possible liability for tax or other imposition under, any Federal statute enforced by TTB.
 - b. Copy for district office licensee or permittee file, when referring potential violations.
 - c. Copy for the approving official's file, when referring potential violations.
 - d. Make additional copies when necessary for:
 - (1) Market Compliance Branch, Bureau Headquarters, when referring FAA Act trade practices violations to State or local agencies.
 - (2) Office of Liaison and Public Information, Disclosure Branch, Bureau Headquarters, when referring to a State agency returns or return information under 26 U.S.C. 6103.
2. **PREPARATION**
 - a. The TTB officer uncovering the potential violation or, in the case of a transmittal of requested information, the appropriate individual will complete items 3 through 8 in Part I, as applicable.
 - b. The approving TTB official will complete the remaining items in Part I. For referrals by Criminal Enforcement, the RAC or SAC is the approving official. In the case of referrals by Regulatory Enforcement personnel, the approving official is the ADD or CTS, except that referrals concerning firearms and explosives matters may be approved by the Supervisor, Firearms and Explosives Licensing Section. Referrals of FAA Act trade practices violations, to Criminal Enforcement and other FEDERAL agencies will be approved by the Chief, Market Compliance Branch. Referrals by the Audit Services Division will be approved by the audit manager.
3. **DISTRIBUTION**
 - a. Original, with any attachments, and the recipient's response copy to the appropriate TTB official or other agency. If form is used to transmit requested information, do not include response copy.
4. **RESPONSE**
 - a. **ACTION BY RECIPIENT TTB OFFICE.** Complete Part II and return to the originating office within 10 working days of receipt of a referral of potential violations. Submit an interim response if an investigation will continue past the 10-day period, and final response upon completion of the investigation.
 - b. **ACTION BY OTHER RECIPIENT AGENCY.** Please complete Part II when a referral of potential violations under your jurisdiction has been received and return to the originating office.

PAPERWORK REDUCTION ACT NOTICE

This request is in accordance with the Paperwork Reduction Act of 1995. This information collection is used to determine the response of and value to, other Federal and State government agencies and bodies of information supplied by TTB. The information is voluntary.

The estimated average burden associated with this collection of information is 1 hour per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestion for reducing this burden should be addressed to Reports Management Officer, Regulations and Procedures Division, Alcohol and Tobacco Tax and Trade Bureau, Washington, D.C. 20220.